

(Modified) PTO/SB/08A-B (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Substitute for form 1449A-B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/932,254
Filing Date	August 16, 2001
First Named Inventor	Lu Liu
Group Art Unit	1635
Examiner Name	Unassigned
Attorney Docket Number	02-103610US

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number	Kind Code (if known)			
W	AA	5,512,463		Stemmer	04-30-1996	
W	AB	5,514,588		Varadaraj	05-07-1996	
W	AC	5,605,793		Stemmer	02-25-1997	
W	AD	5,763,239		Short et al.	06-09-1998	
W	AE	5,789,228		Lam et al.	08-04-1998	
W	AF	5,811,238		Stemmer et al.	09-22-1998	
W	AG	5,814,473		Warren et al.	09-29-1998	
W	AH	5,824,469		Horwitz et al.	10-20-1998	
W	AI	5,830,696		Short	11-03-1998	
W	AJ	5,830,721		Stemmer et al.	11-03-1998	
W	AK	5,834,252		Stemmer et al.	11-10-1998	
W	AL	5,837,458		Minushull et al.	11-17-1998	
W	AM	5,866,363		Pieczenik	02-02-1999	
W	AN	5,876,997		Kretz	03-02-1999	
W	AO	5,925,749		Mathur, et al.	07-20-1999	
W	AP	5,928,905		Stemmer, et al.	07-27-1999	
W	AQ	5,939,250		Short, Jay M.	08-17-1999	
W	AR	5,939,300		Robertson, et al.	08-17-1999	
W	AS	5,942,430		Robertson, et al.	08-24-1999	
W	AT	5,948,666		Callen, et al.	09-07-1999	
W	AU	5,958,672		Short, Jay M.	09-28-1999	
W	AV	5,958,751		Murphy, et al.	09-28-1999	
W	AW	5,962,258		Mathur, et al.	10-05-1999	
W	AX	5,962,283		Warren et al.	10-05-1999	
W	AY	5,965,408		Short, Jay M.	10-12-1999	
W	AZ	5,985,646		Murphy, et al.	11-16-1999	
W	BA	6,001,574		Short et al.	12-14-1999	
Examiner Signature <i>M. T. V.</i>				Date Considered <i>1/19/05</i>		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



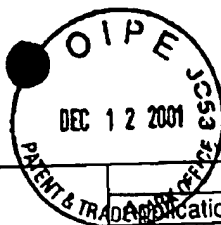
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Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known		RECEIVED DEC 4 2001 TE 10/2900
	Applicant Number	09/932,254	
	Filing Date	August 16, 2001	
	First Named Inventor	Lu Liu	
	Group Art Unit	1635	
	Examiner Name	Unassigned	
	Attorney Docket Number	02-103610US	

BB	6,004,788	Short	12-21-1999
BC	6,030,779	Short	02-29-2000
BD	6,054,267	Short	04-25-2000
BE	6,057,103	Short	05-02-2000
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BK	6,171,820	Short	01-09-2001
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BM	6,180,406	Stemmer	01-30-2001
BN	6,238,884	Short et al.	05-29-2001

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Examiner Initials	Cite No.	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number				
W	BO	WO	97/07205	Novo Nordisk A/S	02-27-1997		
W	BP	WO	97/20078	Affymax Technologies	06-05-1997		
W	BQ	WO	97/25410	Novo Nordisk A/S	07-17-1997		
W	BR	WO	97/35957	Maxygen, Inc.	10-02-1997	11	
W	BS	WO	97/35966	Maxygen, Inc.	10-02-1997	11	
W	BT	WO	97/44361	Recombinant Biocatalysis Inc.	11-27-1997		
W	BU	WO	97/48416	Recombinant Biocatalysis, Inc.	12-24-1997		
W	BV	WO	97/48717	Recombinant Biocatalysis Inc	12-24-1997		
W	BW	WO	97/48794	Recombinant Biocatalysis Inc	12-24-1997		
Examiner Signature <i>M. T. N.</i>				Date Considered	7/19/01		

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	BX	WO	98/00526		Recombinant Biocatalysis Inc	01-08-1998		
	BY	WO	98/01581		Recombinant Biocatalysis Inc	01-15-1998		
	BZ	WO	98/13485		Maxygen, Inc.	04-02-1998		
	CA	WO	98/13487		Maxygen, Inc.	04-02-1998		
	CB	WO	98/24799		Diversa Corp.	06-11-1998		
	CC	WO	98/27230		Maxygen, Inc.	06-25-1998		
	CD	WO	98/28416		Novo Nordisk A/S	07-02-1998		
	CE	WO	98/31837		Maxygen, Inc.	07-23-1998		
	CF	WO	98/36080		The Dow Chemical Company	08-20-1998		
	CG	WO	98/41622		Novo Nordisk A/S	09-24-1998		
	CH	WO	98/41623		Novo Nordisk A/S	09-24-1998		
	CI	WO	98/41653		Novo Nordisk A/S	09-24-1998		
	CJ	WO	98/42832		California Institute of Technology	10-01-1998		
	CK	WO	98/48034		Diversa Corp.	10-29-1998		
	CL	WO	98/58085		Diversa Corp.	12-23-1998		
	CM	WO	99/07837		Diversa Corp.	02-19-1999		
	CN	WO	99/08539		Diversa Corp.	02-25-1999		
	CO	WO	99/10472		Diversa Corp.	03-04-1999		
	CP	WO	99/10539		Diversa Corp.	03-04-1999		
	CQ	WO	99/19518		Diversa Corp.	04-22-1999		
	CR	EP	0911396A2		Maxygen, Inc.	04-28-1999		
	CS	WO	99/21979		Maxygen, Inc.	05-06-1999		
	CT	EP	0911396A3		Maxygen, Inc.	05-06-1999		
	CU	WO	99/23107		Maxygen, Inc.	05-14-1999		
	CV	WO	99/23236		Diversa Corp.	05-14-1999		

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Examiner Signature		Date Considered	7/19/05
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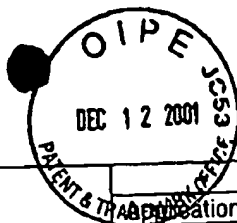
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	CY	WO	99/41368	Maxygen, Inc.	08-19-1999	
	CZ	WO	99/41369	Maxygen, Inc.	08-19-1999	
	DA	WO	99/41383	Maxygen, Inc.	08-19-1999	
	DB	WO	99/41402	Maxygen, Inc.	08-19-1999	
	DC	WO	99/45154	Diversa Corp.	09-10-1999	
	DD	WO	99/57128	Maxygen, Inc.	11-11-1999	
	DE	WO	99/65927	Maxygen, Inc.	12-23-1999	
	DF	WO	00/42560	Maxygen, Inc.	07-20-2000	
	DG	WO	00/42561	Maxygen, Inc.	07-20-2000	
	DH	WO	00/53744	Diversa Corporation	09-14-2000	
	DI	WO	00/58517	Diversa Corporation	10-05-2000	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	DJ	Chang, C., et al. (1999) "Evolution of a cytokine using DNA family shuffling." <u>Nature Biotechnology</u> 17:793-797.	
	DK	Christians, F.C. et al., (1999) "Directed evolution of thymidine kinase for AZT phosphorylation using DNA family shuffling." <u>Nature Biotechnology</u> 17:259-264.	
	DL	Coco et al., (2001) "DNA shuffling method for generating highly recombined genes and evolved enzymes" <u>Nature Biotechnology</u> vol. 19 pp. 354-359	
	DM	Cramer et al., (1993) "10(20)-Fold aptamer library amplification without gel purification," <u>Nuc. Acids Res.</u> 21(18):4410.	
	DN	Cramer, A. & Stemmer W.P.C. (1995) "Combinatorial multiple cassette mutagenesis creates all the permutations of mutant and wildtype cassettes." <u>Biotechniques</u> 18:194-195.	
	DO	Cramer, A. et al. (1996) "Improved green fluorescent protein by molecular evolution using DNA shuffling." <u>Nature Biotechnology</u> 14:315-319.	
	DP	Cramer, A. et al. (1996) "Construction and evolution of antibody-phage libraries by DNA shuffling." <u>Nature Medicine</u> 2:100-103.	

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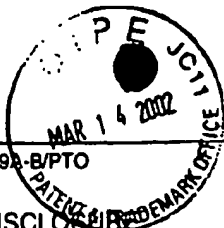
Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
	Application Number	09/932,254
	Filing Date	August 16, 2001
	First Named Inventor	Lu Liu
	Group Art Unit	1635
	Examiner Name	Unassigned
	Attorney Docket Number	02-103610US

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	DQ	Crameri, A. et al., (1997) "Molecular evolution of an arsenate detoxification pathway by DNA shuffling." <u>Nature Biotechnology</u> 15:436-438	
	DR	Crameri, A. et al., (1998) "DNA shuffling of a family of genes from diverse species accelerates directed evolution." <u>Nature</u> 391:288-291.	
	DS	Gates, C.M. et al., (1996) "Affinity selective isolation of ligands from peptide libraries through display on a lac repressor 'headpiece dimer'." <u>Journal of Molecular Biology</u> 255:373-386.	
	DT	Minshull, J., Stemmer, W.P.C. (1999) "Protein evolution by molecular breeding." <u>Current Opinion in Chemical Biology</u> 3:284-290.	
	DU	Ness, J. et al., (1999) "DNA shuffling of subgenomic sequences of subtilisin." <u>Nature Biotechnology</u> 17:893-896.	
	DV	Patten, P.A. et al., (1997) "Application of DNA Shuffling to Pharmaceuticals and Vaccines." <u>Current Opinion in Biotechnology</u> 8:724-733.	
	DW	Pelletier, Joelle N., (2001) "A Rachitt for our toolbox" <u>Nature Biotechnology</u> vol. 19, p. 314-315	
	DX	Stemmer, W.P.C. (1994) "DNA Shuffling by random fragmentation and reassembly: In vitro recombination for molecular evolution." <u>PNAS</u> 91:10751	
	DY	Stemmer, W.P.C. (1994) "Rapid evolution of a protein in vitro by DNA shuffling." <u>Nature</u> 370:389-391.	
	DZ	Stemmer, W.P.C. (1995) "The Evolution of Molecular Computation." <u>Science</u> 270:1510	
	EA	Stemmer, W.P.C. (1995) "Searching Sequence Space." <u>Bio/Technology</u> 13:549-553.	
	EB	Stemmer, W.P.C. (1996) "Sexual PCR and Assembly PCR." In: <u>The Encyclopedia of Molecular Biology</u> . VCH Publishers, New York. pp. 447-457.	
	EC	Stemmer, W.P.C. & Soong, N.W. (1999) "Molecular breeding of viruses for targeting and other clinical properties." <u>Tumor Targeting</u> 4:59-62.	
	ED	Zhang, J. et al., (1997) "Directed evolution of an effective fucosidase from a galactosidase by DNA shuffling and screening." <u>Proceedings of the National Academy of Sciences, USA</u> 94:4504-4509.	

Examiner Signature		Date Considered	7/16/01
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Application Number 09/932,254
Filing Date August 16, 2001
First Named Inventor Lu Liu
Group Art Unit 1635
Examiner Name Unassigned
Attorney Docket Number 02-103610US
Date Submitted March 5, 2002

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			
W	AA	5,231,020		Jorgensen et al.	07-27-1993	
W	AB	5,610,041		Somerville et al.	03-11-1997	
W	AC	5,663,063		Peoples et al.	09-02-1997	
W	AD	5,698,425		Ligon et al.	12-16-1997	
W	AE	5,783,431		Peterson et al.	07-21-1998	
W	AF	5,824,485		Thompson et al.	10-20-1998	
W	AG	6,077,696		Khosla et al.	06-20-2000	
W	AH	6,258,566		Barr et al.	07-10-2001	

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		Office	Number	Kind Code (if known)				
W	AI	WO	99/07867	A1	Calgene LLC	02-18-1999		
W	AJ	WO	00/06747	A2	Metabolix, Inc.	02-10-2000		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
W	AK	Beaujean, et al., (2000) "Engineering Direct Fructose Production in Processed Potato Tubers by Expressing a Bifunctional Alpha-Amylase/Glucose Isomerase Gene Complex," <i>Biotechnology and Bioengineering</i> , Vol. 70, No. 1, pp. 9-16.	
W	AL	Bulow L., (1990) "Preparation of Artificial Bifunctional Enzymes by Gene Fusion" <i>Biochem. Soc. Symp.</i> , 57:123-133.	
W	AM	Bulow, et al., (1991) "Multienzyme Systems Obtained by Gene Fusion," <i>Tibtech</i> , Vol. 9, No. 7, pp. 226-231.	
W	AN	Carlsson, et al., (1994) "Use of Genetically Prepared Enzyme Conjugates in Lactose and Galactose Analyses," <i>Anal. Biochem.</i> , 218(2):278-283.	
W	AO	Carlsson, et al., (1996) "Physical and Kinetic Effects on Induction of Various Linker Regions in Beta-Galactosidase/Galactose Dehydrogenase Fusion Enzymes," <i>Biochim. Biophys. Acta.</i> , 1293(1):154-160.	

Examiner Signature	Date Considered
<i>[Signature]</i>	7/19/01

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Part of Page No. 8



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	Application Number	09/932,254
	Filing Date	August 16, 2001
	First Named Inventor	Lu Liu
	Group Art Unit	1635
	Examiner Name	Unassigned
	Attorney Docket Number	02-103610US
Date Submitted	March 5, 2002	

	AP	Carreras, et al., (1997) "The Chemistry and Biology of Fatty Acid, Polyketide, and Nonribosomal Peptide Biosynthesis," <i>Topics in Current Chemistry</i> , Vol. 188, pp. 85-126.	
	AQ	Lindbladh, et al., (1992) "Characterization of a Recombinant Bifunctional Enzyme, Galactose Dehydrogenase/Bacterial Luciferase, Displaying an Improved Bioluminescence in a Three-Enzyme System," <i>Eur. J. Biochem.</i> , 204(1):241-247.	
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	AS	Ljungcrantz, et al., (1990) "Construction and Characterization of a Recombinant Tripartite Enzyme, Galactose Dehydrogenase/Beta-Galactosidase/Galactokinase," <i>FEBS</i> , Vol. 275, number 1,2, pp. 91-94.	
	AT	Nixon, et al., (1998) "Hybrid Enzymes: Manipulating Enzyme Design," <i>Tibtech</i> , Vol. 16, pp. 258-264.	
	AU	Scolnik, et al., (1996) "A Table of Some Cloned Plant Gene Involved in Isoprenoid Biosynthesis," <i>Plant Molecular Biology Reporter</i> , 14(4):pp. 305-319	
	AV	Kosan Biosciences, Inc., (2000) "Combinatorial Biosynthesis: Organic Molecule Diversity Through Recombinant DNA Technology," scientific prospectus pp.1-12.	

Examiner Signature		Date Considered	7/14/02
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INFORMATION DISCLOSURE
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Application Number **09/932,254**
 Filing Date **August 16, 2001**
 First Named Inventor **Lu Liu, et al.**
 Group Art Unit **3054**
 Examiner Name **Unassigned**
 Attorney Docket Number **0162.210 us**

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appear
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		Office	Number				
W	AW	WO	99/31224	A2	National Research Council of Canada [CACA]	06-24-1999	
W	AX	EP	0610046	A2	Bristol-Myers Squibb	08-10-1994	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

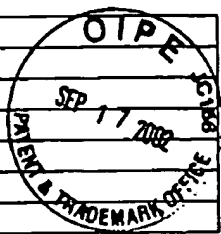
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
W	AY	Von ARNIM, A.G. et al., "Cloning vectors for the expression of green fluorescent protein fusion proteins in transgenic plants", <i>Gene: an International Journal on Genes and Genomes</i> , (1998) 35-43.	

Examiner Signature	<i>M. T. V.</i>	Date Considered	7/19/05
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	Application Number	09/932,254
	Filing Date	August 16, 2001
	First Named Inventor	Lu Liu, et al.
	Group Art Unit	3054
	Examiner Name	Unassigned
	Attorney Docket Number	0162.210 us



U.S. PATENT DOCUMENTS						
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MN	AZ	6,448,473	B1	Mitsky, et al.	09-10-2002	

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
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 STATEMENT
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U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
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<i>WV</i>	1	WO	99/31224-A		Canada Nat. Res. Council	02-10-2000	<i>duplicate</i>	
<i>MA</i>	2	EP	0 610 046-A		Squibb Bristol Myers	08-10-1994	<i>duplicate</i>	

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